Corrective Action Tracking System (CATS)

User's Guide for Direct Web Access

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1.0 Overview

In the autumn of 1998 the DNFSB issued Recommendation 98-1 concerning Integrated Safety Management. The Department responded to the DNFSB with a November 20, 1998 commitment to develop a "consistent, disciplined framework for developing and implementing corrective action plans in response to oversight findings, tracking and reporting status of corrective actions, verifying the completion of corrective actions, and resolving differences or issues that may arise relative to corrective actions." DOE's subsequent March 10, 1999 Implementation Plan for DNFSB Recommendation 98-1 noted that "The Department needs a more effective process for tracking and reporting the status of corrective actions in response to oversight issues." Therefore DOE has developed a Department-wide Corrective Action Tracking System (CATS), that allows the DOE community to track and report corrective actions, share safety management information across the complex, and to make DOE safety status and actions available to the general public.

CATS is a Web-based database used to maintain the documentation associated with safety assessments. It is used to create, edit and view Source Reports, Issues, Corrective Action Plans (CAPS) and individual corrective actions (Actions) resulting from assessments. Assessment Reports and their related Issues are entered into CATS by EH-2 staff, while the resulting Corrective Action Plans with itemized corrective Actions are entered by the respective field organizations that were the subject of specific Reports. So that CATS users may readily find pertinent information, CATS links Actions to the Reports and Issues they address.

Security measures have been implemented to ensure the integrity of the data entered into the database. Access to the database is controlled through User IDs and passwords. The IDs, passwords, and CATS data remain secure through encrypted data transmissions across the Internet.

1.1 CATS Database Access Control Overview

Most persons with access to CATS will have view (read-only) access. CATS is available to the general public. To prevent unauthorized persons from entering or changing data in CATS, only specific DOE-HQ or Field persons will be allowed to enter data; they will have Editor rights.

To implement this policy, the following security features have been implemented in the CATS Database:

Lotus Notes Access Control	
Access Control List(s) (ACL)	Used to define the persons with database access and the specific functionality allowed for them.
ACL Roles	Used to refine ACL functionality, by granting or limiting access to additional database functionality.
Section Security	Used to limit access (hide) portions of information in a document (typically for the general public).
Reader/Author Fields	Used to limit or restrict access to views and documents, especially **editing** access.

1.2 Recordkeeping

The CATS system is not designed to serve as an electronic recordkeeping system. All pertinent records related to an issue must be maintained by the organization of origin in accordance with DOE regulations and guidance.

1.3 Privacy Act Statement

The CATS is available to the public. All data entered into the system must be carefully reviewed prior to submission to ensure that no Privacy Act information is included.

1.4 Security

The CATS system is an unclassified system. All information entered into the system must be carefully reviewed prior to submission to ensure it is unclassified.

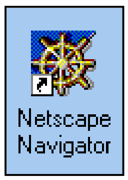
CATS uses the Secure Sockets Layer (SSL) encryption protocol to assure integrity of data as it transits the Internet. Users must have a version of Netscape (or Internet Explorer) that supports SSL communications. Reasonably recent versions do support SSL.

2.0 Using CATS

CATS is a Lotus Notes web-based application that runs from a domino server. CATS can be accessed through either of two Internet Browers: Internet Explorer or Netscape Navigator. Each user is required to initiate a logon ID and password the first time they access CATS. Once the user receives their logon information, they are ready to use the CATS system.

2.1 Accessing the Internet

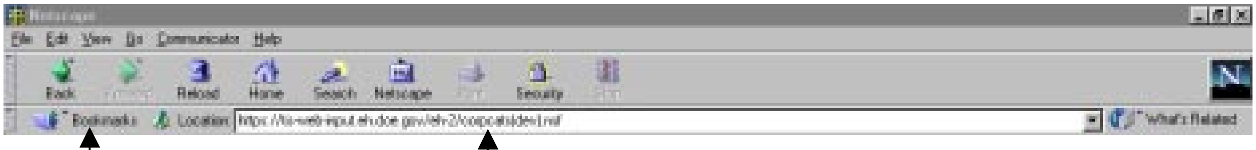
The Web browser used, is typically one installed by the computer support team for DOE users. To access CATS it can be either of the following two:

Netscape Navigator 	Internet Explorer 
The most common web browser for most Government agencies is Netscape Navigator. (Notice the icon above contains a curve arrow inside a small box indicating the icon is a shortcut or link to the application file on the local drive.)	Another popular web browser is Microsoft's own Internet Explorer that comes standard with computers running Windows 95 (version C) or greater, or Windows 98.
Accessing the Internet To access the Internet using Netscape Navigator, double-click on the Netscape Navigator icon located on the Windows desktop. The designated home page for your organization, or another one you may have chosen, will be displayed.	Accessing the Internet To access the Internet using the Microsoft's Internet Explorer, double-click on the Internet Explorer icon located on the Windows desktop. The designated home page for your organization, or another one you may have chosen, will be displayed.

Note: For the purpose of this documentation, all examples for Web browsers will relate to the Netscape browser. However, the functionality of Internet Explorer is very similar.

2.2 URL Address Locator

A URL (Uniform Resource Locator) contains specific address components that identify where a web page is located. Http:// indicates the link is on the Web and is followed by the domain name or address (e.g., www.doe.gov) that is a location of a direct web site.



Bookmark Button URL Locator Bar

1. Enter the web site address in the **URL locator bar**.

2. Press **Enter** to retrieve the web site.

3. Click the **Bookmark** button. A list of bookmarked URLs is displayed.

4. Click on **Add Bookmark** to save the address for future use

2.3 Netscape Web Navigator

Web Toolbar Features

Back – Moves to previous document page one at a time

Forward – Moves to the next document page one at a time

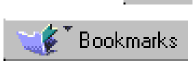
Stop – Stops the process of loading a document onto the screen

Reload – Retrieves a current document again with any added changes

Home – Opens or returns to the organization's home page

Search – Finds a word or phrase on the opened page

Print – Sends the open page to the default printer

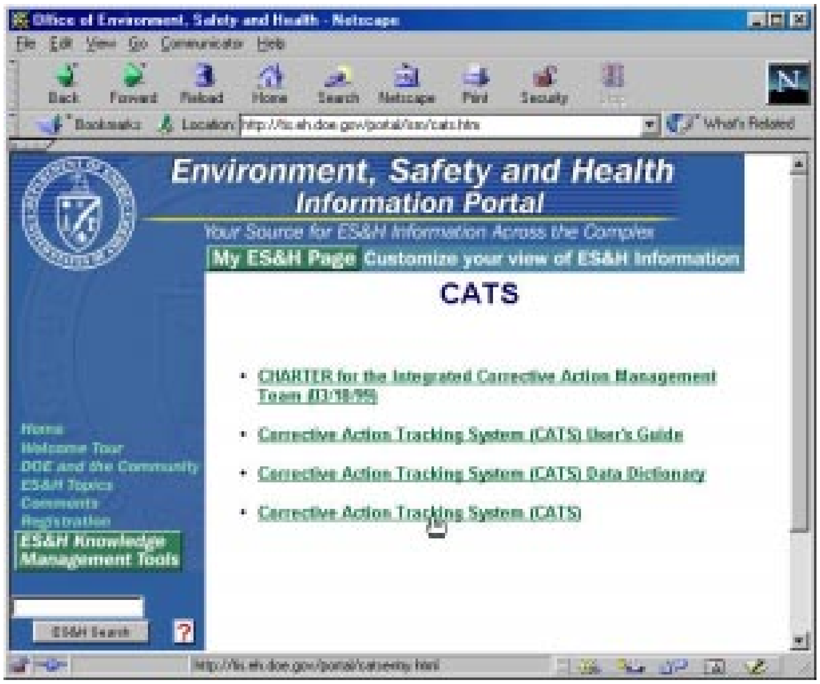


Bookmarks – Keeps a list of web page addresses for easy access and opens the list of web page addresses to select from

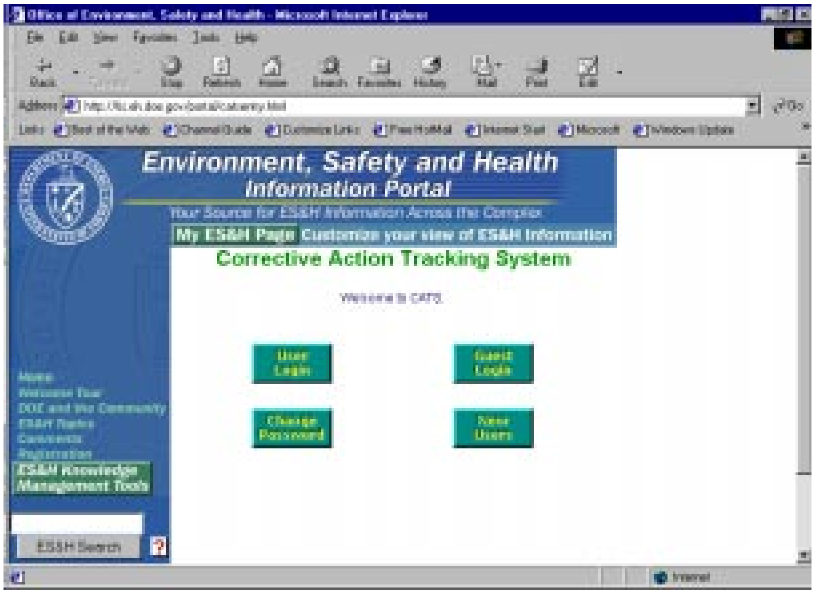
2.4 Accessing CATS

To access CATS complete the following steps:

1. Open your Internet browser.
2. Enter the ISM Resource Center page URL: http://tis.eh.doe.gov/portal/ism/cats.htm.
3. Click on the **Corrective Action Tracking System (CATS)** option.



The **Corrective Action Tracking System** screen provides four (4) login options: User Login, Guest Login, Change Password, and New Users.



Option 1: First Time User	**Option 2: Registered User**

Option 1: First Time User

1a. Click once on the **New Users** button.

*Note: If prompted with a Security dialog box, select **OK** or **Continue** button.*

1b. When the CATS registration screen appears, click on the **Request New Account** button.

1c. Select a Lotus Notes user type from the **CATS Access Information** screen.

1d. Complete the attached on-line registration form and click the **Submit Request** button.

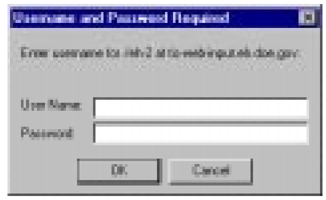
In approximately ***2-3*** business days, you will receive your access information via the e-mail address you provided on the registration form.

Option 2: Registered User

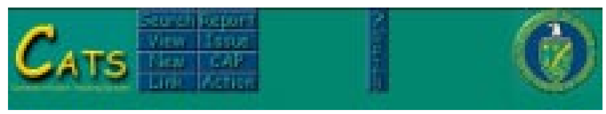
2a. Click once on the **User Login** button.

*Note: If prompted with a Security dialog box, select **OK** or **Continue** button.*

2b. Enter your user name and password. Click OK. (Note: Passwords are case sensitive.)



2c. You are entered into the CATS Main Menu system:

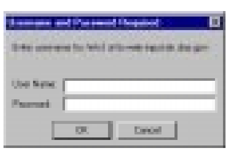


Option 3: Guest Login

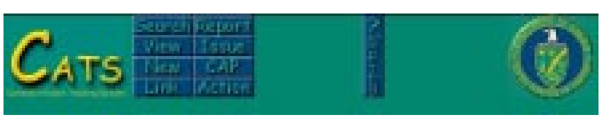
3a. Click on the Guest Login button.

3b. At the guest access screen, click the **Guest Login** button.

3c. Enter the user name and password; click OK.



3d. You are entered into the CATS Main Menu system:



Option 4: Change Password

4a. Click the Change Password button.

4b. When the CATS registration screen appears, click on the **Change Password** button.

*Note: If prompted with a Security dialog box, select **OK** or **Continue** button.*

4c. Enter your user name and password at the Change Password Request screen. Click OK.

4d. Enter your old password.

4e. Enter a new password or keep the one provided by the system.

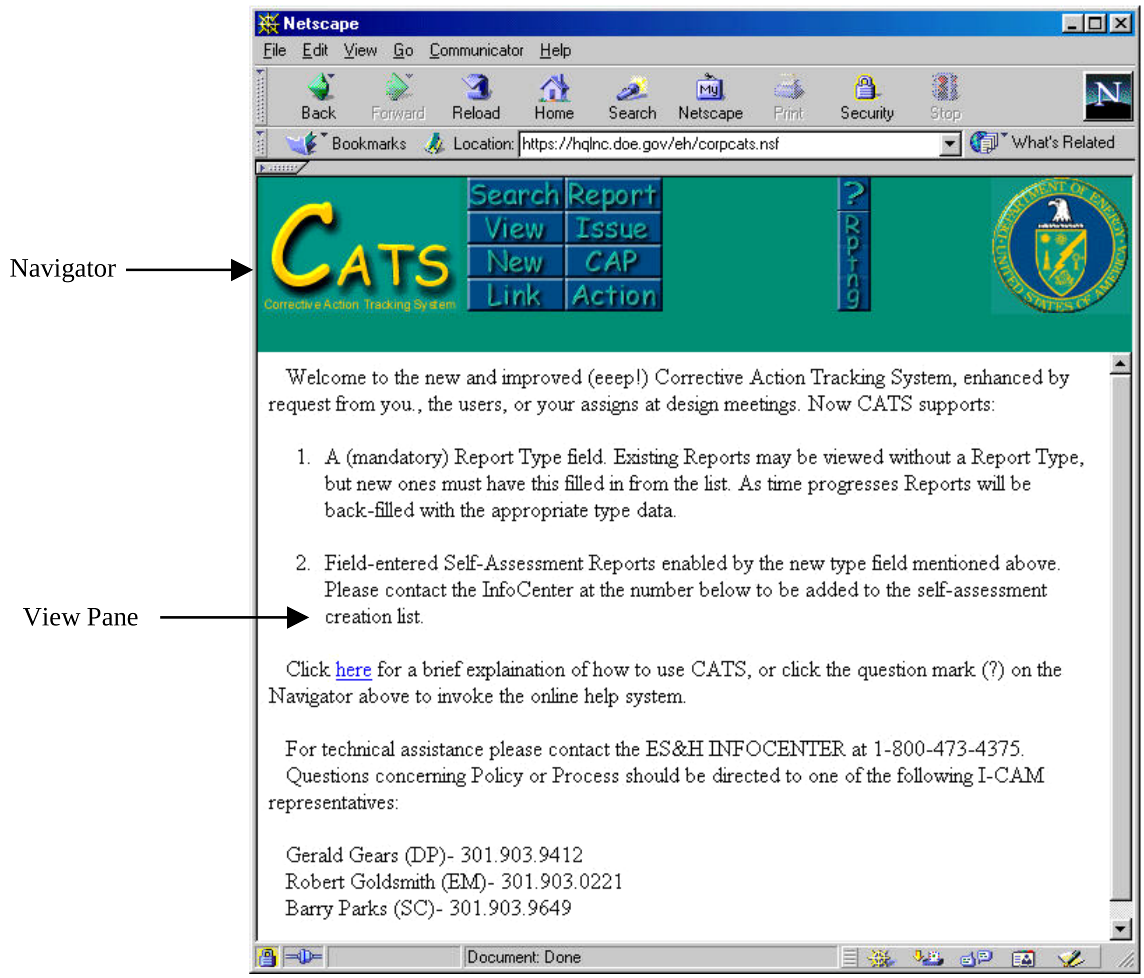
4f. Click the Submit Request button.

***Note**: As a **registered** user, you are also able to enter the CATS Main Menu via any bookmarked CATS page. If you choose to access CATS using this method, the system will bypass the logon page (bottom of page 5), and prompt you for your login ID and password before entering the CATS Main Menu.*

2.5 CATS Main Menu Overview

Once the User has successfully logged onto the CATS system, the following CATS Main Menu is displayed. Do read the information on this screen carefully. Two important issues are pointed out on this screen.

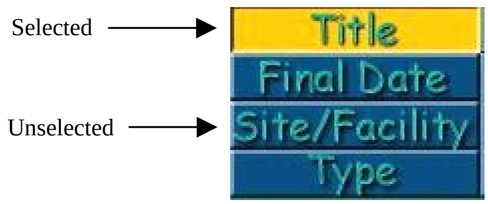
First, allow CATS to load completely. While you are waiting for the **Navigator** to appear, you can begin to read the information on the screen. You can use the vertical scroll bar to move up/down the screen; this will not disrupt the Navigator loading process. Secondly, the big yellow "CATS" at the upper left corner is a link to the default search page. (See section *6.0 Search Features* on page 19 for more information.) The CATS link is part of the Navigator bar which appears throughout the main database.



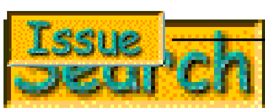
View	Description
Navigator	Displays a list of actions and forms available to the user. (There is more on the Navigator in the Navigating CATS section of this document, below.)
View Pane	Displays the form selected in the Navigator, or displays documents selected.

2.6 Navigating CATS

CATS provides a nesting navigation system. The nesting navigation system consists of three levels of options: Function, Form, and View. Each level is not necessarily available for each function selected. A button in the Navigator represents each possible selection. When a button is selected, it's color changes from Blue to Yellow on the screen.



Following is an outline of the available nesting options, organized by level.

Function	Form	View
		
		
		
		

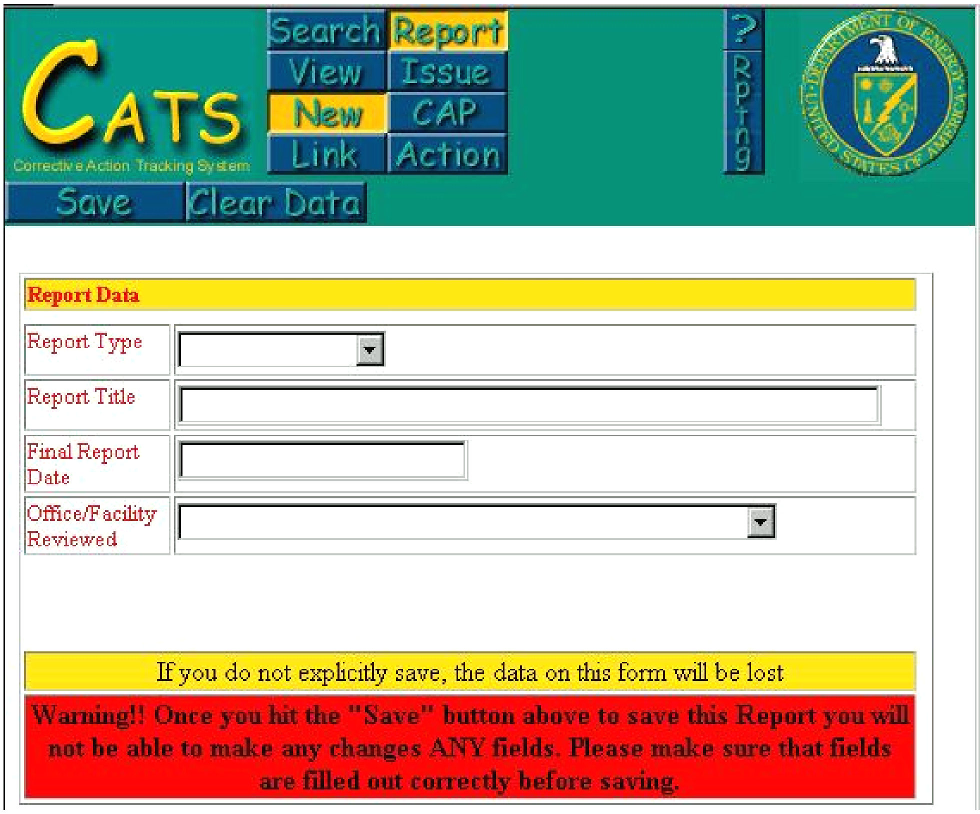
Function	Form	View
Report		Title Final Date Site/Facility Type
Number Description Principles Func. Area		
Manager Organization Status Completion		
Action		Manager Site/Facility Status Completion
New	Report	
	Issue	
	CAP	
	Action	
Link	Add	Issue Action
	Delete	Issue Action

3.0 CATS Data Entry

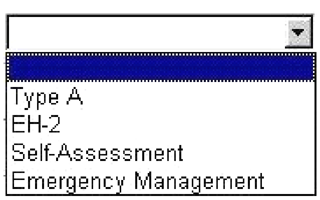
The CATS database allows authorized Users to create four different types of documents; Source Reports, Issues, Actions, and CAPs.

3.1 Create a Source Report

The Source Report is the Office of Oversight report where safety issue(s) are identified. Reports and issues from Evaluations, Special Reviews, Special Studies, and Type A Accident Investigations are tracked in CATS. Source Report information is entered into CATS by the Office of Oversight.



1. From the Main Menu, select the **New** button.
2. Select the **Report** button. The report form is displayed.
3. Click on the drop-down arrow in the **Report Type** field. The choices for report type are displayed:



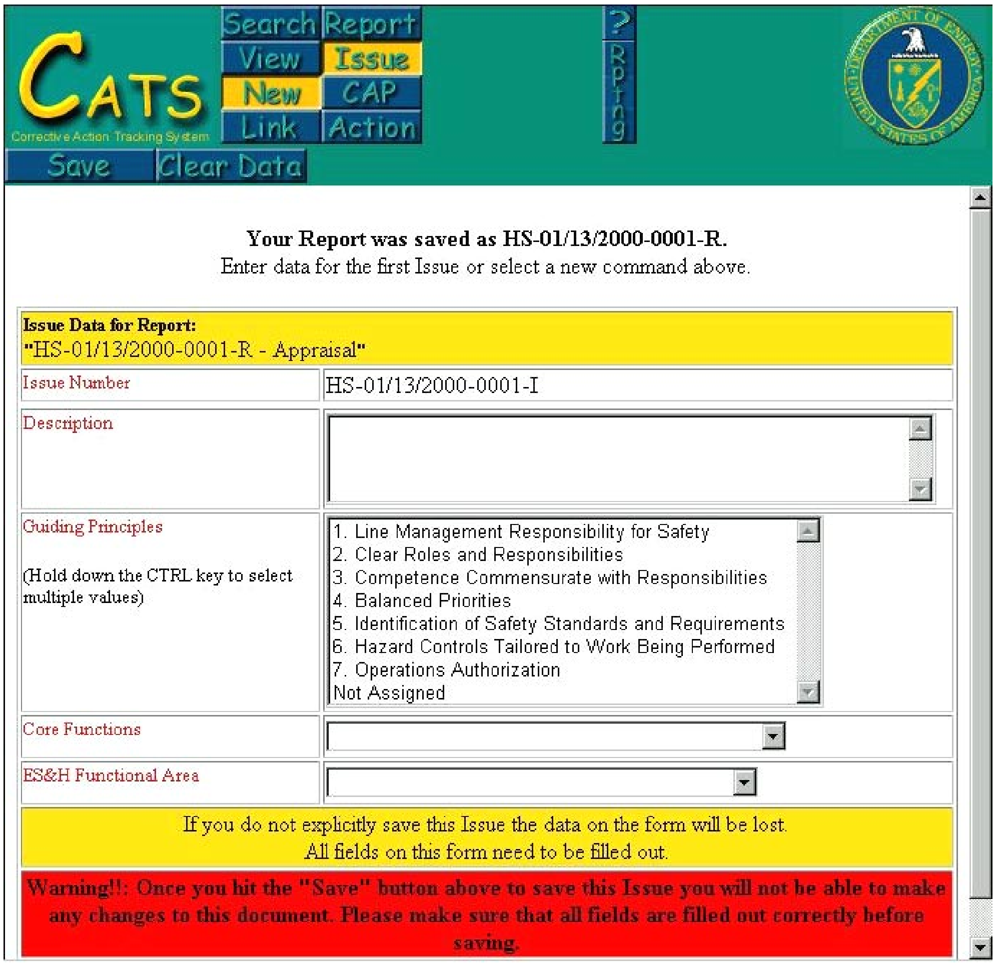
   Choose a report type, and press **TAB** to go to the next field.
4. Click once in the **Report Title** field. Enter the title of the source report. Press **TAB** to go to the next field.
5. Enter the final report date in the field in MM/DD/YYYY format. Press **TAB** to go to the next field.
6. From the drop down list, select the Office/Facility Reviewed.
7. Click once on the **Save** button to save the report entry into the database. (Note: The Report text itself is not entered into the CATS system.)

*NOTE: If you want to clear (reset) the New Report form, click once on the **Clear Data** button to clear all fields.*

NOTE: Once a Report entry is made, CATS automatically takes you to the Issue entry field so the Issues associated with the Report may be entered – see the next section below.

3.2 Create an Issue

An issue is a concise statement of the safety finding, problem, judgement of need or deficiency that needs to be resolved by line management. The Office of Oversight enters Issues into CATS.



If creating a new Issue immediately after creating a report, skip to step 5.

1. From the Main Menu, select the **New** button.
2. Select the **Issue** button. The Assign New Issue to Report screen is displayed.
3. From the drop down list, select the Report to which the new Issue should be assigned.
4. Click once on the **Assign** button. The New Issue form is displayed.
5. Click once in the description field and enter a description of the new Issue. Where possible the issue description should be taken verbatim from the final approved report, study, evaluation, accident investigation, or other applicable mechanism. *If the report word-processing file is available, this can be done very easily using Windows' Edit-Copy and Edit-Paste features.*
6. Click once on the appropriate Guiding Principle from the available list.
7. From the drop down list, select the appropriate Core Functions.
8. From the drop down list, select the appropriate ES&H Functional Area.

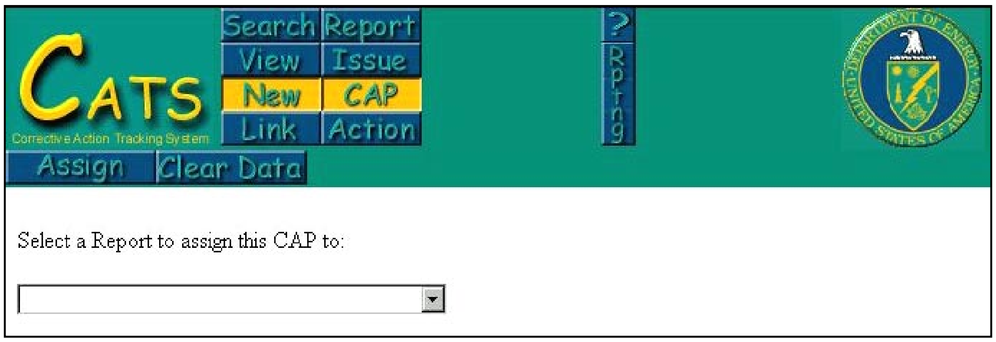
9. Click once on the **Save** button. The issue is saved in the database and a new blank issue form is displayed. The new issue form is associated with the report previously created, or selected in Step 3.

Note: If you want to clear (reset) the New Issue form, click once on the Clear Data button.

3.3 Create a Corrective Action Plan (CAP)

The CAP is prepared by the cognizant line manager, in consultation with the applicable CSO. The CAP addresses the Issues raised in the Formal Independent Oversight Assessment Report.

1. From the Main Menu, select the **New** button.
2. Select the **CAP** button. The Put CAP Data on Report screen is displayed.



3. From the drop down list, select the report to assign the new CAP.
4. Click once on the **Assign** button. The New CAP form is displayed.

Report Data	
Report Number	ETTP-10/11/2000-0001-R-EH2
Report Type	EH-2
Report Title	Independent Investigation of the East Tennessee Technology Park Volume 2: Current Environment, Safety, and Health Programs and Issues
Final Report Date	10/11/2000
Office/Facility Reviewed	East Tennessee Technology Park
CAP Data	
Cognizant Line Manager	
Responsible Organization	
Responsible CSO	
Approval Due Date	12/10/2000
CAP Status	
Approval Status	Pending Approval
Approval Date	
Attached Plan	Browse...
Reviewed by EH-2	Yes
Latest Corrective Action in CAP	
CAP Completion Date	New

5. Click once in the Cognizant Line Manager field and enter the appropriate information.
6. From the drop down list, select the appropriate Responsible Organization.
7. From the drop down list, select the appropriate Responsible CSO. Press **TAB** to go to the next field.
8. The Approval Due Date field is completed automatically by CATS.
9. Enter appropriate descriptive information in the CAP Status field.
10. From the drop down list, select the appropriate Approval Status. Press **TAB** to go to the next field.
11. If the CAP is Approved, enter the appropriate date in MM/DD/YYYY format in the Approval Date field.
12. Enter the appropriate information in the Attached Plan field by clicking once on the **Browse** button. The Windows file management dialog box is displayed. Locate and select the appropriate file to attach to the new CAP. Press **TAB** to go to the next field.
13. From the drop down list, select the appropriate choice for the Reviewed by EH-2 field.
14. The Latest Corrective Action in CAP field is automatically generated by CATS based upon the latest Action planned completion date.
15. The CAP Completion Date field is automatically generated by CATS based upon the latest Action (actual) completion date.
16. Select the **Save** button to save the CAP to the Report identified in Step 4.

*Note: If you want to clear (reset) the New CAP form, click once on the **Clear Data** button.*

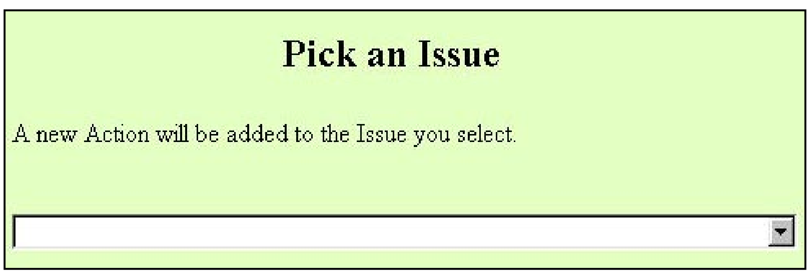
3.4 Create an Action

Corrective actions describe actions that will correct the safety issues identified in the independent oversight report.

1. From the Main Menu, select the **New** button.
2. Select the **Action** button. The **Pick a Report** screen is displayed.

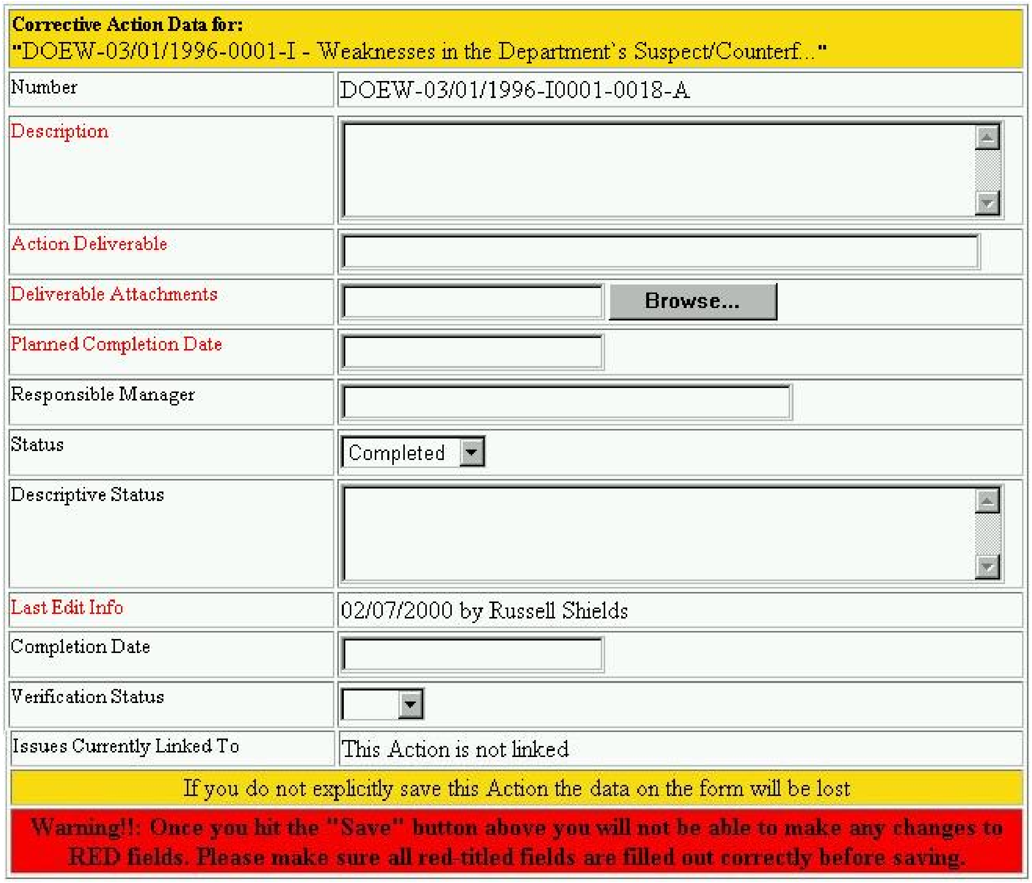
From the drop down list, select the Report to search for an Issue.

3. Click once on the **Select** button. The Pick an Issue form (as shown below) is displayed.



4. From the drop down list, select the **Issue** to assign an Action.
   Note: A report that contains no issues will return the information, "No issues associated with this report." At this point, a new search must be created.

5. Click once on the **Assign** button. The New Action form is displayed.



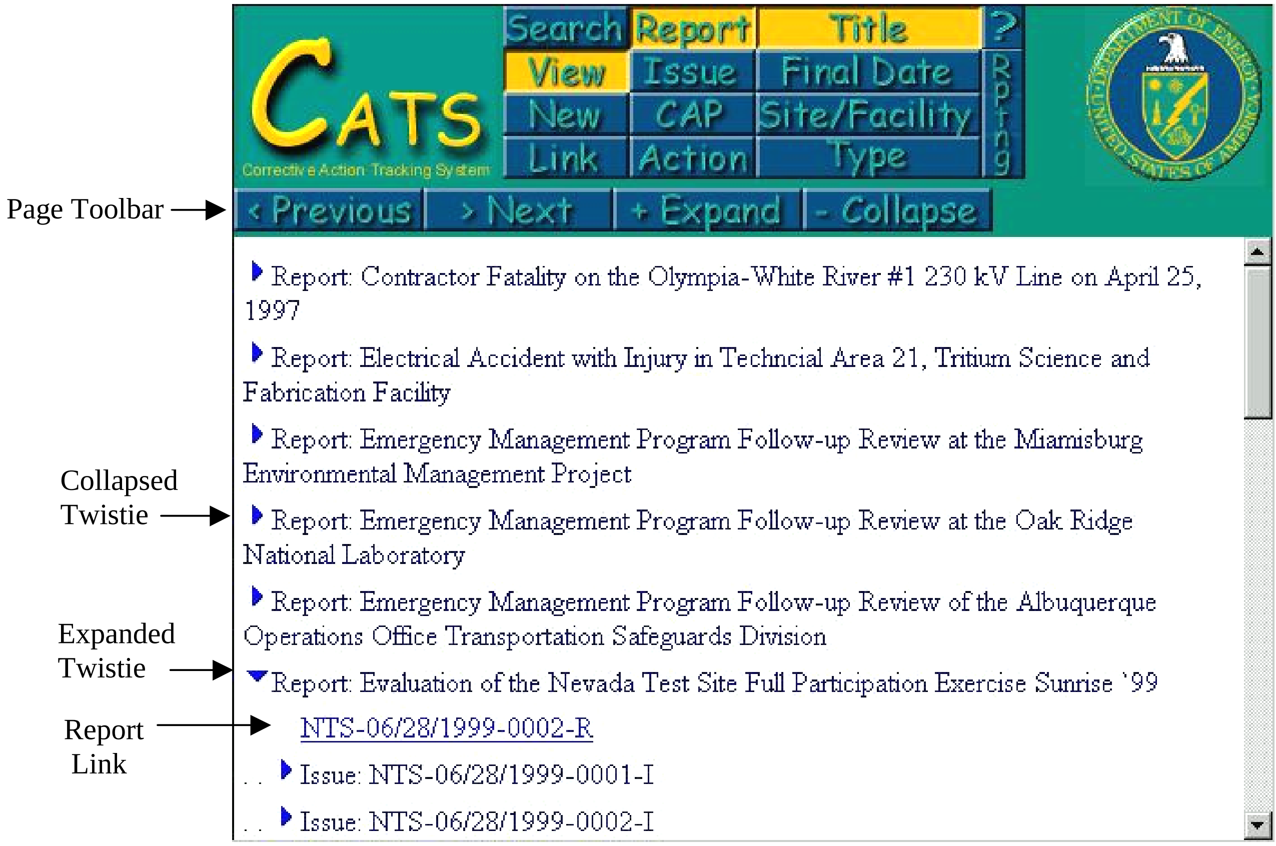
Corrective Action Data for: "DOEW-03/01/1996-0001-I - Weaknesses in the Department's Suspect/Counterf..."	
Number	DOEW-03/01/1996-I0001-0018-A
Description	
Action Deliverable	
Deliverable Attachments	Browse...
Planned Completion Date	
Responsible Manager	
Status	Completed
Descriptive Status	
Last Edit Info	02/07/2000 by Russell Shields
Completion Date	
Verification Status	
Issues Currently Linked To	This Action is not linked
If you do not explicitly save this Action the data on the form will be lost	
Warning!!: Once you hit the "Save" button above you will not be able to make any changes to RED fields. Please make sure all red-titled fields are filled out correctly before saving.	

6. The Number field is automatically calculated and displayed.
7. Click once in the Description field and enter the appropriate data. Press **TAB** to go to the next field.
8. Enter the appropriate data in the Action Deliverable field. Press **TAB** to go to the next field. *Where possible the description and deliverable should be taken verbatim from the Corrective Action Plan. If the CAP word-processing file is available, this can be done very easily using Windows' Edit-Copy and Edit-Paste features.*
9. From the Deliverable Attachments field, click once on the **Browse** button. The Windows file management dialog box is displayed. Locate and select the appropriate file to attach to the Action. Press **TAB** to go to the next field.
10. Enter the appropriate date in MM/DD/YYYY format in the Planned Completion Date field.
11. Enter the appropriate data in the Responsible Manager field. Press **TAB** to go to the next field.
12. From the drop down list, select the appropriate Status. Press **TAB** to go to the next field.
13. Enter the appropriate data in the Descriptive Status field. Press **TAB** to go to the next field.
14. The Last Edit Info field is automatically displayed.
15. If this Action has been completed enter the appropriate date in MM/DD/YYYY format, in the Completion Date field. Press **TAB** to go to the next field.
16. From the drop down list, select the appropriate Verification Status.
17. Click once on the **Save** button to save the form to the database.

*Note: If you want to clear (reset) the New Action form, click once on the **Clear Data** button.*

4.0 Viewing Data

4.1 Viewing a Source Report

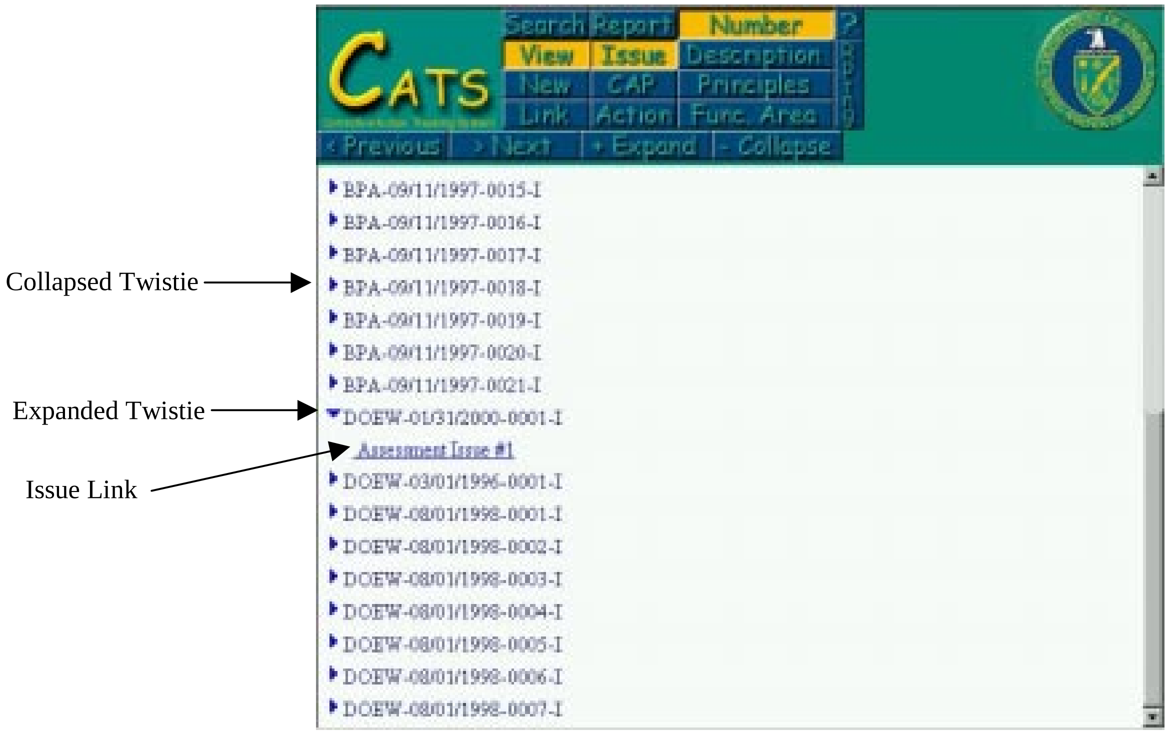


1. From the Main Menu, select the **View** button.
2. Select the **Report** button.
3. Select the appropriate sorting button. A list of source reports is displayed by the selected sorting category.
4. To view details of the source report, click once on the collapsed twistie to the left of the desired report to expand it. The report and all associated Issues are displayed.
5. To open the report, click once on the report link. The report is launched and displayed on the screen.

*Note: To expand all Reports and associated Issues displayed on this page, click once on the **Expand** button. To collapse all Reports and Issues expanded, click once on the **Collapse** button. Expand and Collapse buttons work on Reports, Issues, Actions, anywhere they appear!*

*Note: To scroll between pages of Reports, click on the **Next** and **Previous** buttons displayed on the CATS Main Menu bar.*

4.2 Viewing an Issue



1. From the Main Menu, select the **View** button.
2. Select the **Issue** button.
3. Select the appropriate sorting button. A list of issues is displayed by the selected sorting category.
4. To view details of an issue, click once on the collapsed twistie to the left of the desired issue to expand it.
5. To open the issue, click once on the issue link. The issue is launched and displayed on the screen.

Note: To expand all Issues displayed, click once on the ***Expand*** *button. To collapse all Issues expanded, click once on the* ***Collapse*** *button.*

Note: To scroll between pages of Issues, click on the ***Next*** *and* ***Previous*** *buttons displayed on the Main Menu bar*.

4.3 Viewing a CAP

1. From the Main Menu, select the **View** button.
2. Select the **CAP** button.
3. Select the appropriate sorting button. A list of CAPS is displayed by the selected sorting category.
4. To view CAP details, click once on the collapsed twistie to the left of the desired CAP to expand it.
5. To open the CAP, click once on the CAP link. The CAP is launched and displayed on the screen.

*Note: To expand all CAPs displayed, click once on the **Expand** button. To collapse all CAPs expanded, click once on the **Collapse** button.*

*Note: To scroll between pages of CAPs, click on the **Next** and **Previous** buttons displayed on the Main Menu bar.*

4.4 Viewing an Action

1. From the Main Menu, select the **View** button.
2. Select the **Action** button.
3. Select the appropriate sorting button. A list of actions is displayed by the selected sorting category.
4. To view details of an Action, click once on the collapsed twistie to the left of the desired Action to expand it.
5. To open the Action, click once on the Action link. The Action is launched and displayed on the screen.

Note: To expand all Actions displayed, click once on the ***Expand*** *button. To collapse all Actions expanded, click once on the* ***Collapse*** *button.*

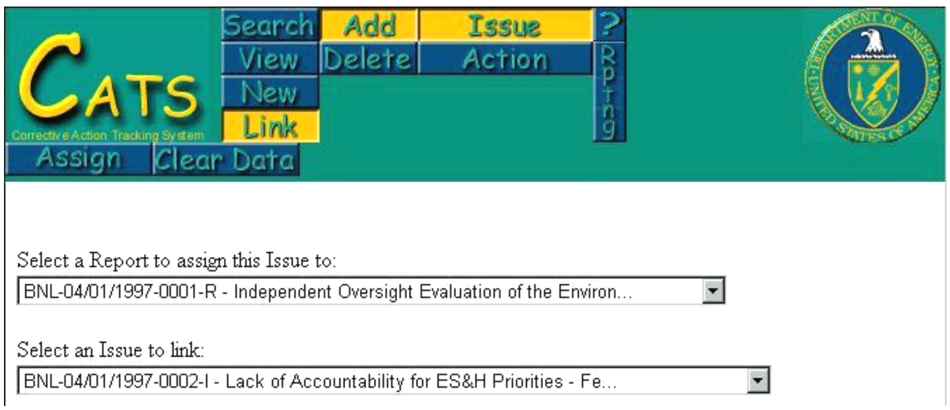
Note: To scroll between pages of Actions, click on the ***Next*** *and* ***Previous*** *buttons displayed on the Main Menu bar.*

5.0 Linking Data

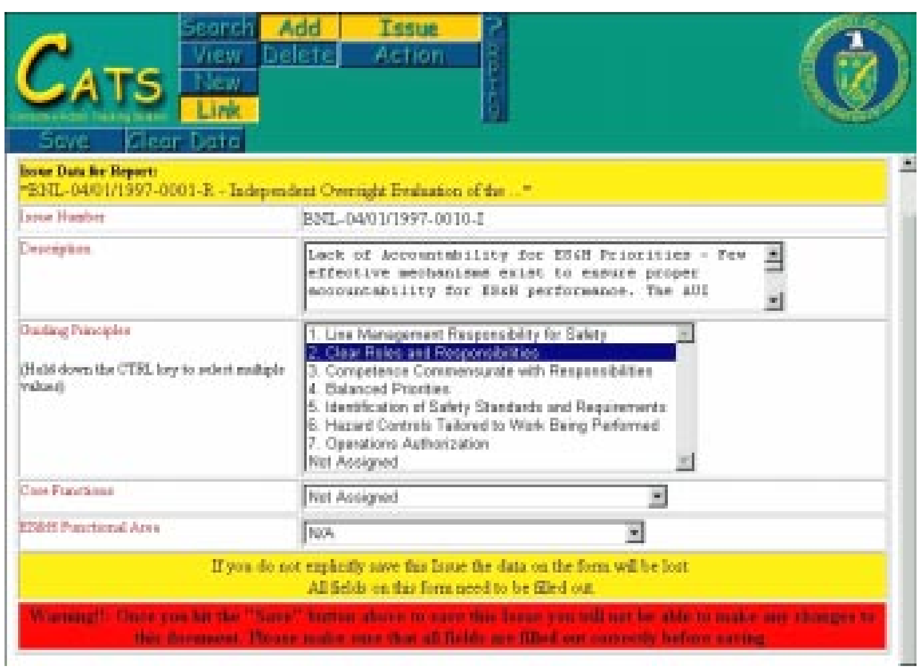
CATS is intended to provide a complete documentation trail that starts with a Report, lists the Issues identified in that Report, identifies the Corrective Action Plan that responds to the Report, and then itemizes the corrective Actions that address each Issue. The CATS database automatically asks users for the Report where Issues are being entered, or for the CAP where Actions are being entered. However, just in case it is needed, CATS gives users the options to link previously created Issues to Source Reports, and previously created Actions to Issues. For example, it may be the case that an Action addresses more than one Issue, or an Issue has a number of Actions that address it.

5.1 Link an Issue to a Source Report

1. From the Main Menu, select the **Link** button.
2. Select the **Add** button. Select the **Issue** button. A dialog box is displayed.



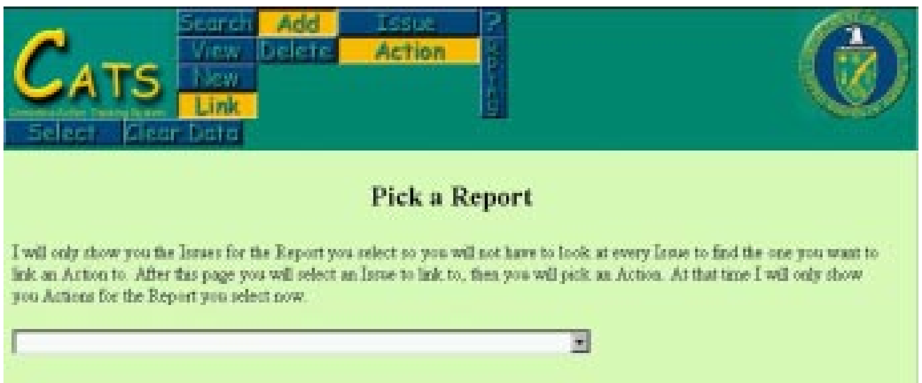
3. From the list provided, select the appropriate report to assign an issue.
4. From the list provided, select the Issue to link to the selected report.
5. Click on the **Assign** button. The issue is linked to the selected report. The following screen is displayed.



6. If necessary, click once in the Description field to edit the description provided.
7. From the list provided, select the appropriate Guiding Principles by clicking once on the desired selection. To select multiple selections, press the Ctrl key then the appropriate selections.
8. From the list provided, select the appropriate Core Functions by clicking once on the desired selection.
9. From the list provided, select the appropriate ES&H Functional Area by clicking once on the desired selection.
10. Select the **Save** button to save the issue and link it to the selected report.

5.2 Link an Action to an Issue

1. From the Main Menu, select the Link button.
2. Select the **Add** button. Select the **Action** button. The following screen is displayed.



3. From the list provided, select the Report then click the **Select** button. The Pick an Issue screen is displayed.
4. From the list provided, select the Issue to link the Action. Select the **Select** button.
5. From the list provided, select the Action to link to the Issue/Report. Select the **Assign** Button. A message is displayed notifying the User if the action was successful.

5.3 Unlink an Action from an Issue

1. From the Main Menu, select the **Link** button.
2. Select the **Delete** button. Select the **Action** button. The Pick a Report screen is displayed.
3. From the list provided, select the Report to locate the Issue. Select the **Select** button. The Pick an Issue screen is displayed.
4. From the list provided, select the Issue to unlink the Action. Select the **Select** button.
5. From the list provided, select the Action to unlink from the Issue/Report. Select the **Assign** Button. A message is displayed notifying the User if the action was successful.

6.0 Search Features

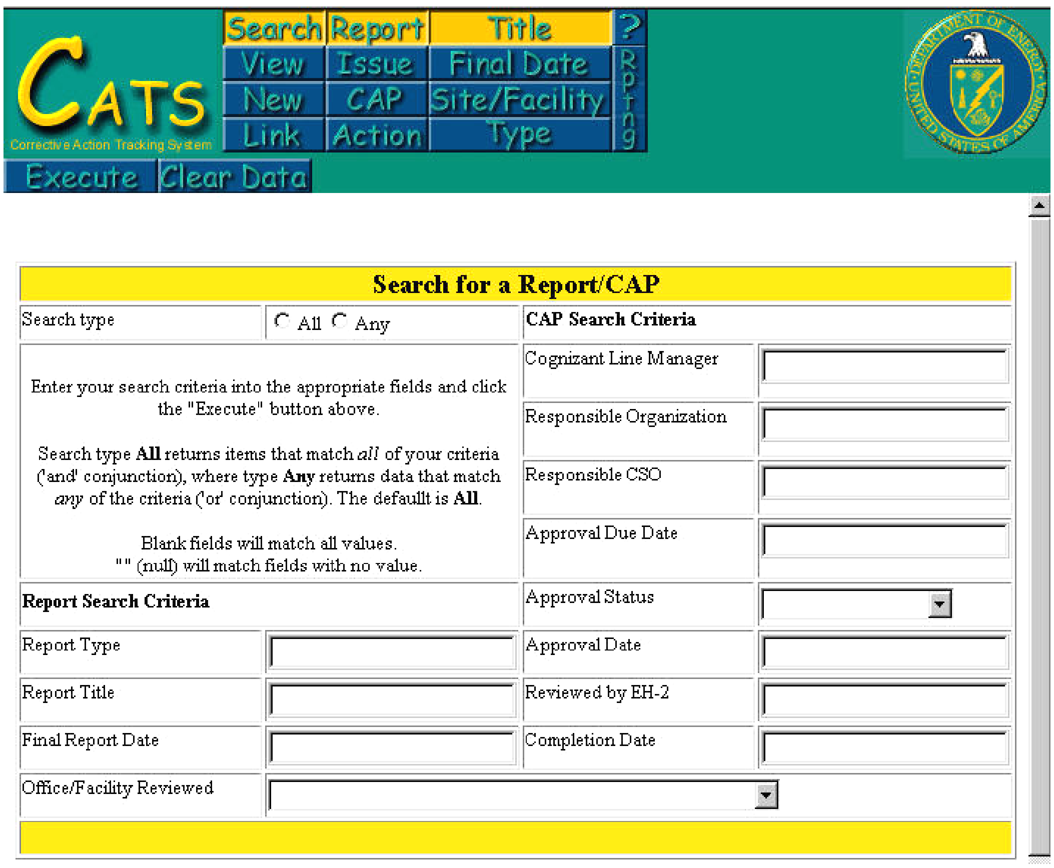
CATS provides users with the ability to search throughout the CATS database for specific Source Reports, Issues, CAPs or Actions. Depending on the type of search (such as All and Any) and the criteria entered by the user, retrieving information should prove successful.

First select a type of search: **All** or **Any**. **All** creates a search to match information in all the text fields as entered by the user. **Any** creates a search that will retrieve information where some and not necessary all of the criteria entered in any of the text fields are matched.

When entering information into the text fields, the search criteria should be specific for best results. For instance, entering 19 in a date field on a search form will match "2/19/2001" and "12/31/1999" because both have a 19 in the data. Wildcards are not currently supported. Therefore, it is not possible to use wildcard characters such as "*" or "?" (i.e., entering "I*L" to create a search for anything that starts with an "I" and ends with an "L").

6.1 Search for Source Report

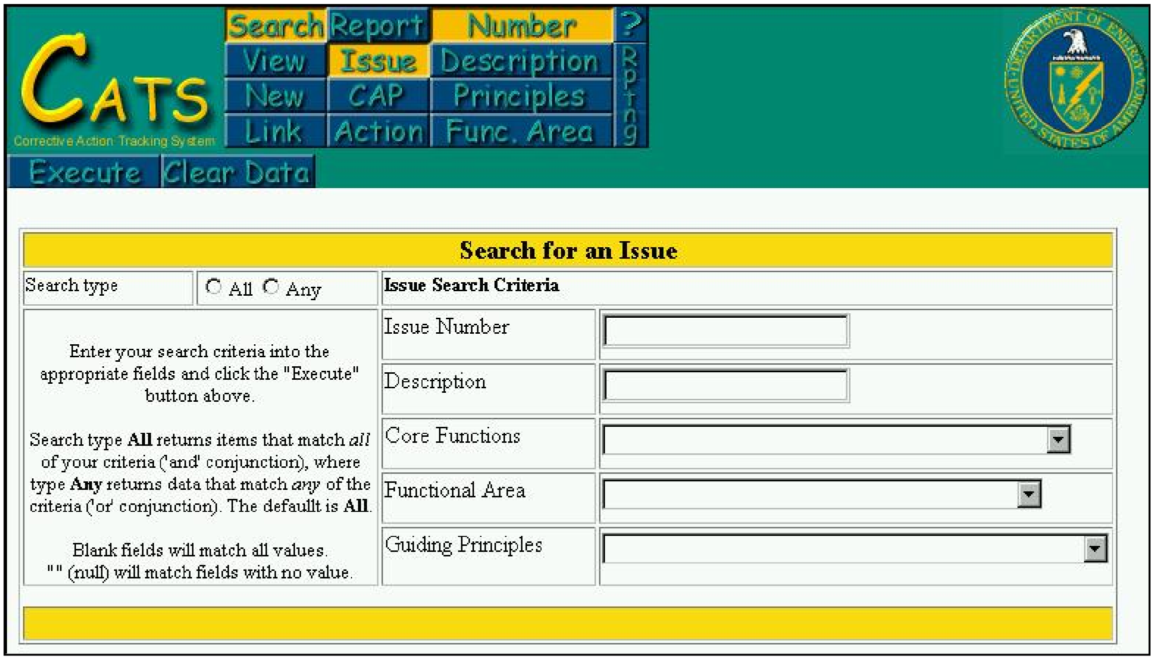
1. From the Main Menu, select the **Search** button.
2. Select the **Report** button.
3. Select the appropriate sort button. The search form is displayed.



4. Complete the form as appropriate.
5. Click once on the **Execute** button. Your results are displayed.
6. Click once on the Report Link to display the Report.

6.2 Search for Issue

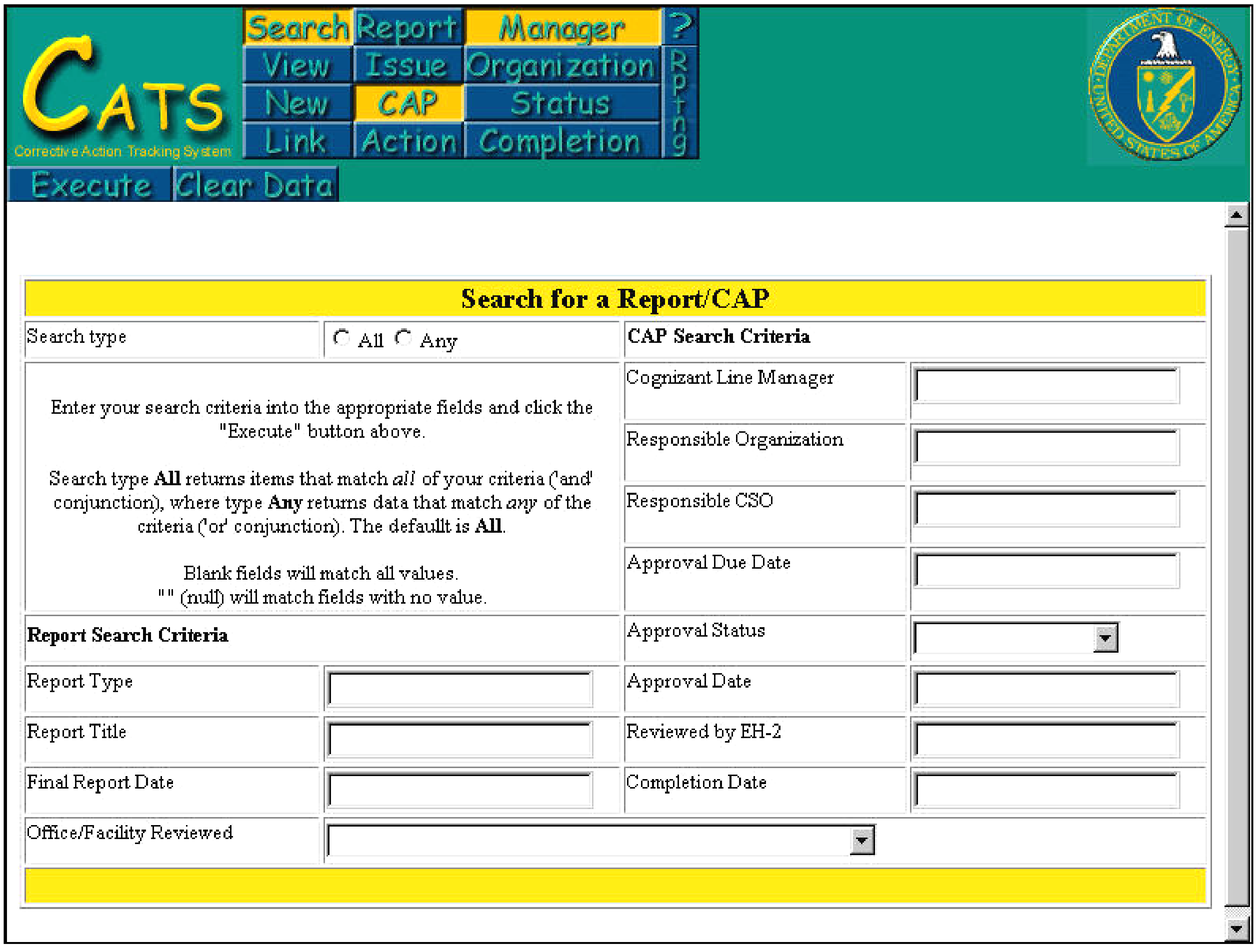
1. From the Main Menu, select the **Search** button.
2. Select the **Issue** button.
3. Select the appropriate sort button. The search form is displayed.



4. Complete the form as appropriate.
5. Click once on the **Execute** button. Your results are displayed.
6. Click once on the Issue Link to display the Issue.

6.3 Search for CAP

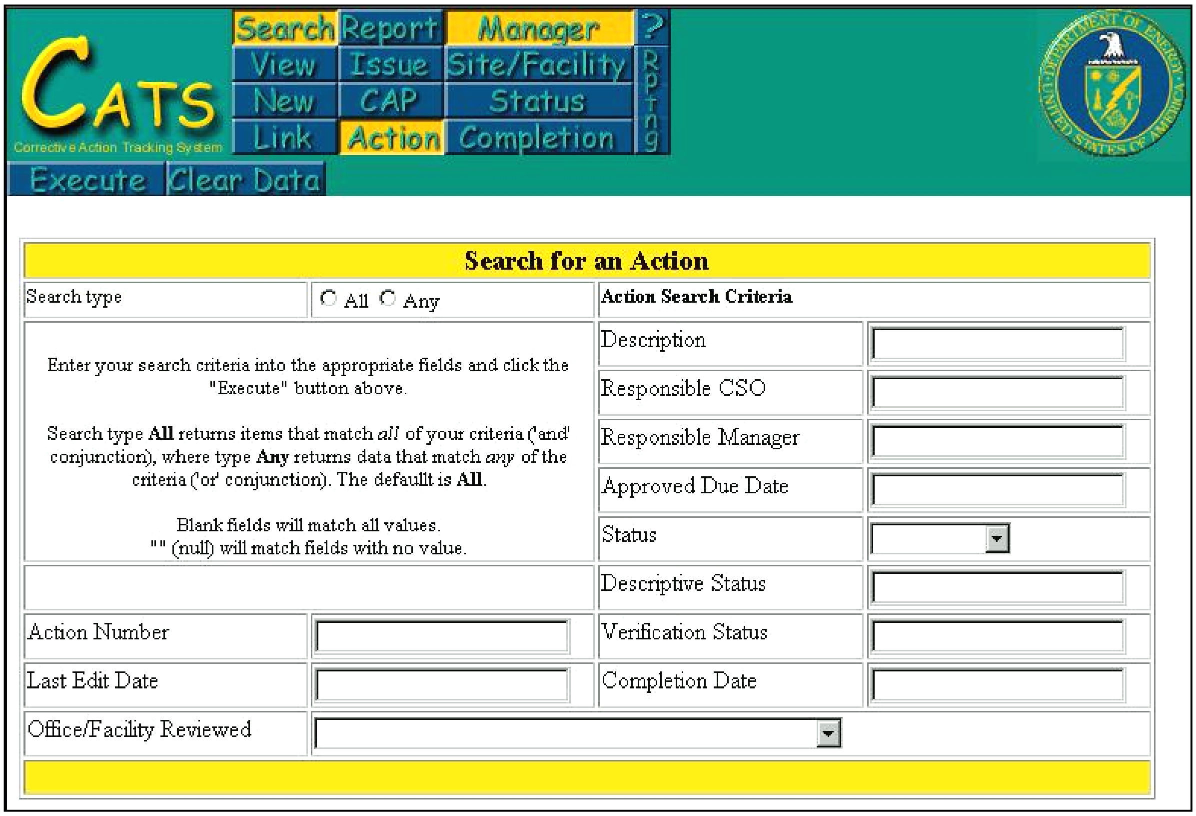
1. From the Main Menu, select the **Search** button.
2. Select the **CAP** button.
3. Select the appropriate sort button. The search form is displayed.



4. Complete the form as appropriate.
5. Click once on the **Execute** button. Your results are displayed.
6. Click once on the CAP Link to display the CAP.

6.4 Search for Action

1. From the Main Menu, select the **Search** button.
2. Select the **Action** button.
3. Select the appropriate sort button. The search form is displayed.



4. Complete the form as appropriate.
5. Click once on the **Execute** button. Your results are displayed.
6. Click once on the Action Link to display the Action.

7.0 Edit Data

CATS provides a method for users to edit both CAPs and Actions within the database. In the event that a user should make a mistake on a Corrective Action Plan that can not be edited within the CATS database, they should complete and submit a Data Change Request Form. To obtain a Data Change Request Form, please go to Appendix A of this manual or retrieve one from the web site.

Upon completion of the Data Change Request Form, please submit it to the following address for evaluation.

U.S. DOE
ES&H InfoCenter, EH-72, 270CC
19901 Germantown Rd
Germantown , MD 20874
Phone: 1-800-473-4375
FAX: 301-903-9823

Once your completed Data Change Request Form is received, the database administrator will evaluate your request and notify you of the status of your request. *Please note that not all requests will be honored. Change requests are subject to final approval for change by the database administrator.*

7.1 Edit Source Reports

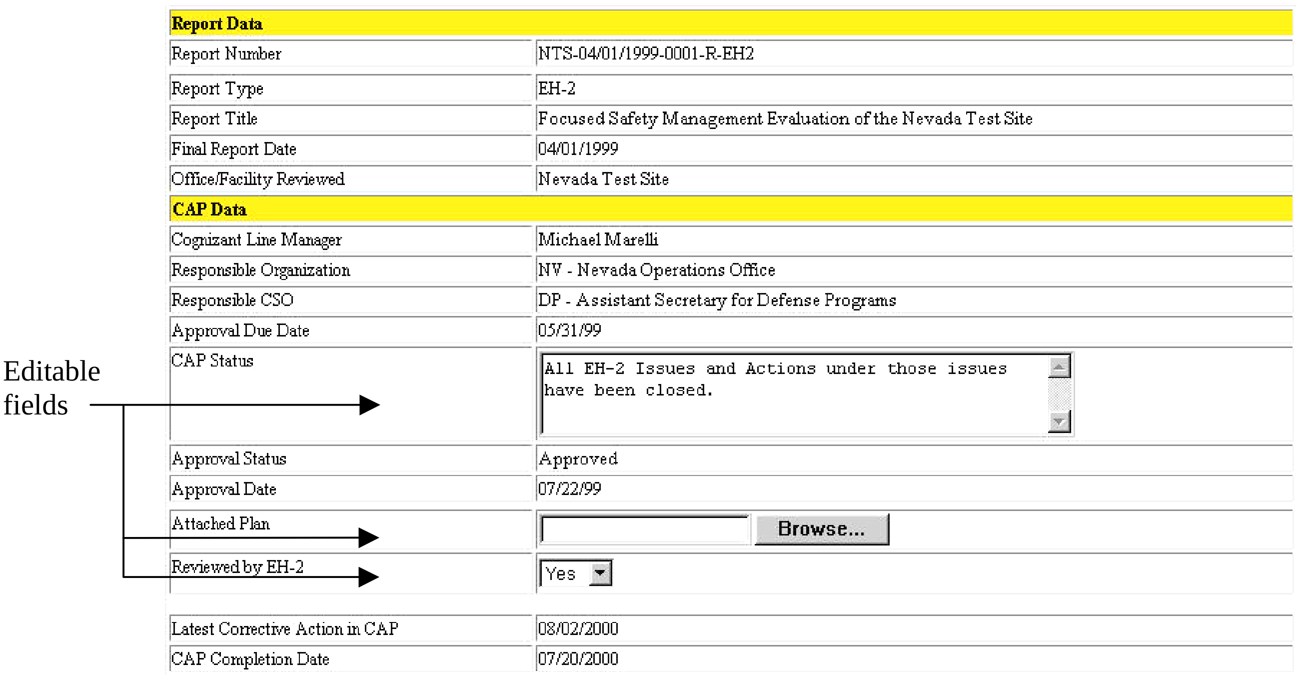
The foundation of the CATS database is composed of Source Reports, upon which all other data depends. Users cannot edit Source Report data once it has been entered into the database.

7.2 Edit Issues

Likewise, the Issues contained in Source Reports comprise the foundation for the CATS database. Users cannot edit Issue data once it has been entered into the database.

7.3 Edit CAPs

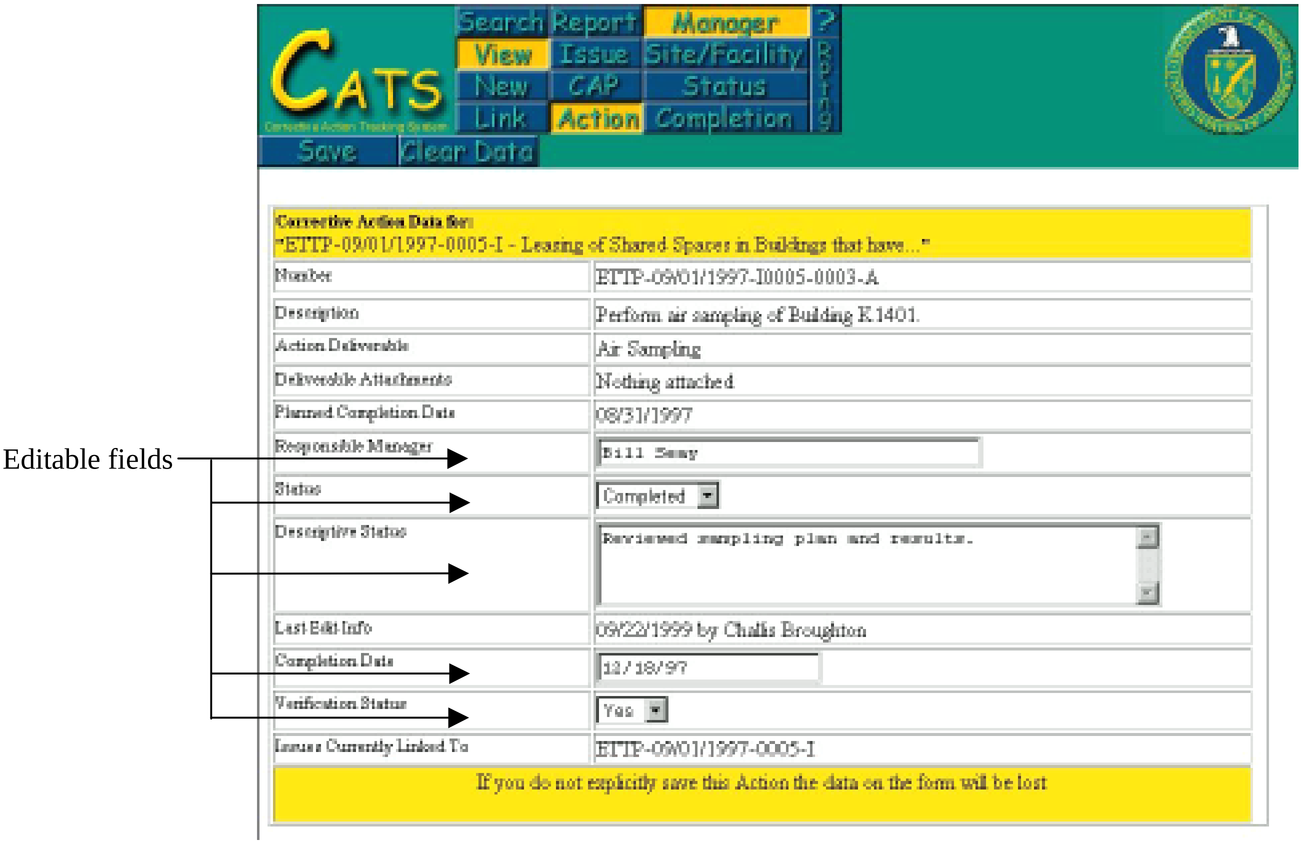
1. Locate the CAP to edit through either the Search or View options.
2. Click once on the CAP to edit. The CAP is opened in read only mode.
3. Click once on the **Edit** button to edit the document.



Report Data	
Report Number	NTS-04/01/1999-0001-R-EH2
Report Type	EH-2
Report Title	Focused Safety Management Evaluation of the Nevada Test Site
Final Report Date	04/01/1999
Office/Facility Reviewed	Nevada Test Site
CAP Data	
Cognizant Line Manager	Michael Marelli
Responsible Organization	NV - Nevada Operations Office
Responsible CSO	DP - Assistant Secretary for Defense Programs
Approval Due Date	05/31/99
CAP Status	All EH-2 Issues and Actions under those issues have been closed.
Approval Status	Approved
Approval Date	07/22/99
Attached Plan	Browse...
Reviewed by EH-2	Yes
Latest Corrective Action in CAP	08/02/2000
CAP Completion Date	07/20/2000

4. Make the appropriate edits to the document. *Note: Users may edit the CAP Status field, the Attached Plan field, and the Reviewed by EH-2 field.* ***If the CAP is Not Approved****, the Approval Status and Approval Date may also be edited.*
5. Click once on the **Save** button to save and close the document.

7.4 Edit Actions



1. Locate the Action to edit through either the Search or View options.
2. Click once on the Action to edit. The Action is opened in read-only mode.
3. Click once on the Edit button.
4. Make the appropriate changes to the Action form.

   Note: Users may edit the Responsible Manager field, the Status field, the Descriptive Status field, Completion Date field, and the Verification Status field.

5. Click once on the Save button to save the changes and the screen will return to View all Actions by Manager window automatically.

8.0 Reports

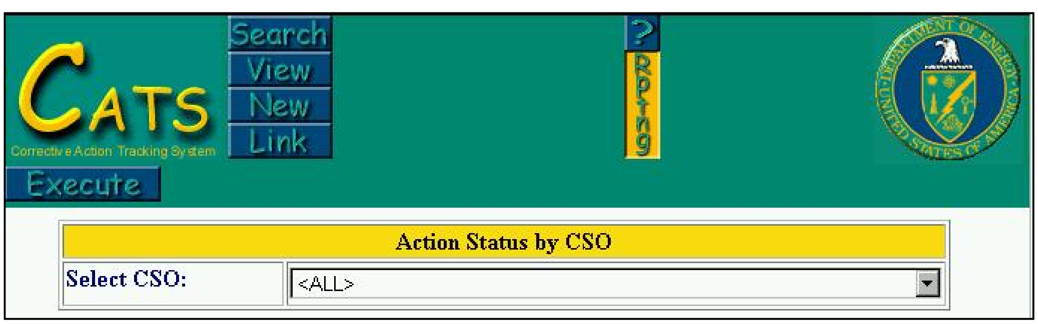
Four CATS Reports have been defined by EH and incorporated into CATS as of this date. Users may view the Quarterly Report to the Secretary (on New Reports and CAP Status), Open (not completed) CAPS sorted by Cognizant Secretarial Officer or by Site, and Functions, Responsibilities & Authorities/ Quality Assurance Program (RA/QAP) status.

To view Reports in CATS, click on the **Reporting** button in the Navigator.

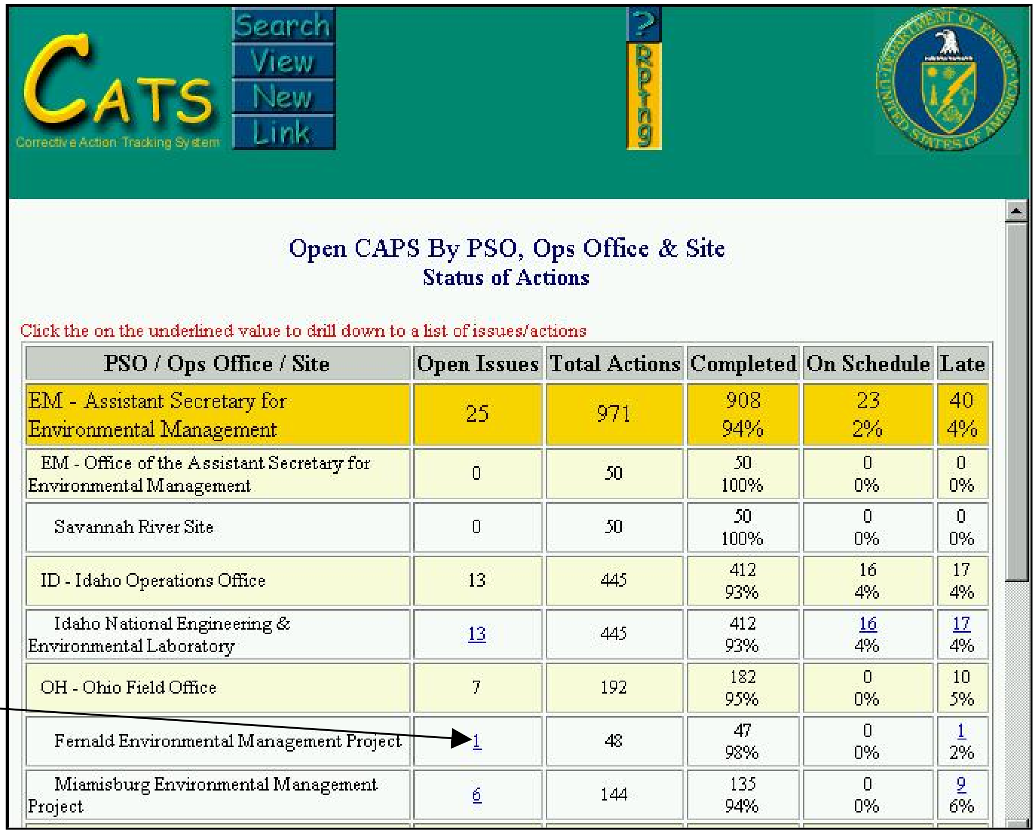
The CATS Reporting screen appears:

Click on the **Secretary's Quarterly Report** link to receive the report in Adobe Acrobat PDF format.

To view Open CAPs sorted by PSO, click on the **Action Status by CSO** link. A dialog box appears:



Click on the drop-down arrow for the list of CSOs in CATS, and select an appropriate CSO. Then click on the **Execute** Execute Button. The list of Open CAPs appears, sorted by CSO:

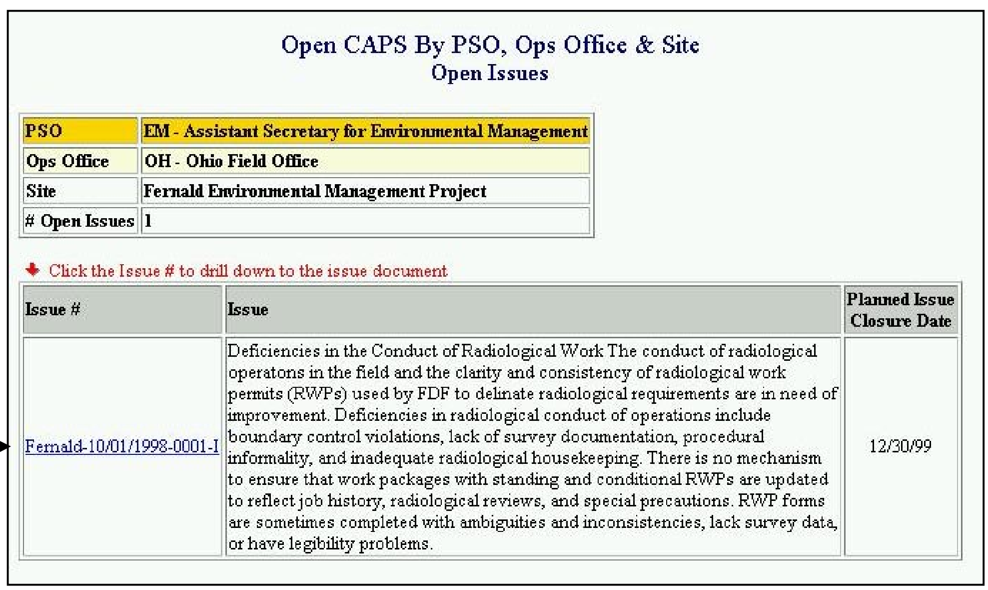


PSO / Ops Office / Site	Open Issues	Total Actions	Completed	On Schedule	Late
EM - Assistant Secretary for Environmental Management	25	971	908 94%	23 2%	40 4%
EM - Office of the Assistant Secretary for Environmental Management	0	50	50 100%	0 0%	0 0%
Savannah River Site	0	50	50 100%	0 0%	0 0%
ID - Idaho Operations Office	13	445	412 93%	16 4%	17 4%
Idaho National Engineering & Environmental Laboratory	13	445	412 93%	16 4%	17 4%
OH - Ohio Field Office	7	192	182 95%	0 0%	10 5%
Fernald Environmental Management Project	1	48	47 98%	0 0%	1 2%
Miamisburg Environmental Management Project	6	144	135 94%	0 0%	9 6%

Issue Link

Note that for facilities with Open Issues, there is a link to a summary of those issues. To view that summary, click on the **Issue Link**. The summary appears:

Click on the **Issue Link** in the summary screen to go to that source Issue document in CATS.

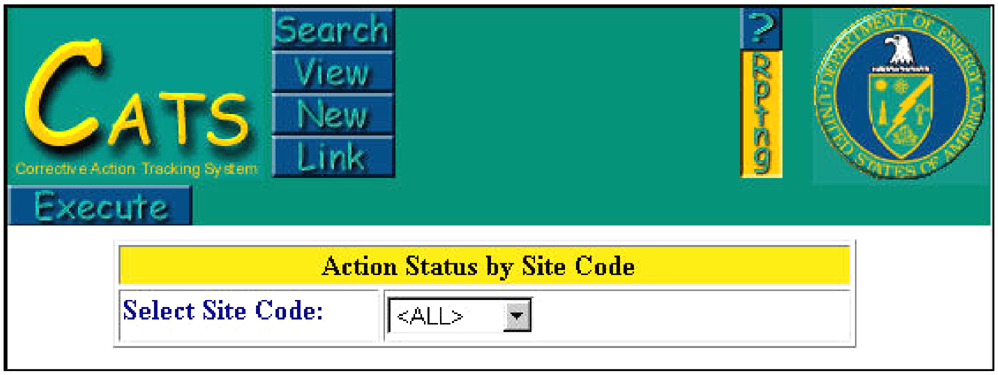


PSO	EM - Assistant Secretary for Environmental Management
Ops Office	OH - Ohio Field Office
Site	Fernald Environmental Management Project
# Open Issues	1

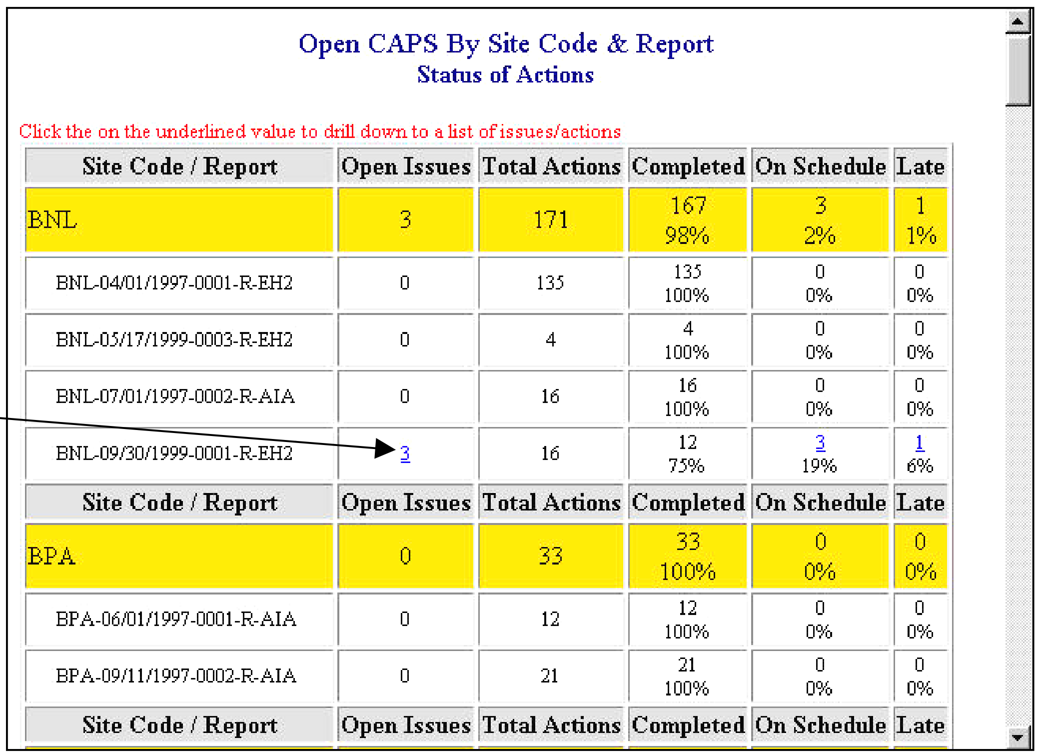
Issue #	Issue	Planned Issue Closure Date
Fernald-10/01/1998-0001-I	Deficiencies in the Conduct of Radiological Work The conduct of radiological operatons in the field and the clarity and consistency of radiological work permits (RWPs) used by FDF to delinate radiological requirements are in need of improvement. Deficiencies in radiological conduct of operations include boundary control violations, lack of survey documentation, procedural informality, and inadequate radiological housekeeping. There is no mechanism to ensure that work packages with standing and conditional RWPs are updated to reflect job history, radiological reviews, and special precautions. RWP forms are sometimes completed with ambiguities and inconsistencies, lack survey data, or have legibility problems.	12/30/99

Issue Link

To view Open CAPs sorted by Site, click on the **Action Status by Site** link. A dialog box appears:



Click on the drop-down arrow for the list of Sites in CATS, and select an appropriate CSO. Then click on the **Execute** Button. The list of Open CAPs appears, sorted by Site:



Open CAPS By Site Code & Report
Status of Actions

Click the on the underlined value to drill down to a list of issues/actions

Site Code / Report	Open Issues	Total Actions	Completed	On Schedule	Late
BNL	3	171	167 98%	3 2%	1 1%
BNL-04/01/1997-0001-R-EH2	0	135	135 100%	0 0%	0 0%
BNL-05/17/1999-0003-R-EH2	0	4	4 100%	0 0%	0 0%
BNL-07/01/1997-0002-R-AIA	0	16	16 100%	0 0%	0 0%
BNL-09/30/1999-0001-R-EH2	3	16	12 75%	3 19%	1 6%
Site Code / Report	Open Issues	Total Actions	Completed	On Schedule	Late
BPA	0	33	33 100%	0 0%	0 0%
BPA-06/01/1997-0001-R-AIA	0	12	12 100%	0 0%	0 0%
BPA-09/11/1997-0002-R-AIA	0	21	21 100%	0 0%	0 0%
Site Code / Report	Open Issues	Total Actions	Completed	On Schedule	Late

Issue Link

Note that as in the "Action Status by CSO" report, for facilities with Open Issues there is a link to a summary of those issues. To view that summary, click on the **Issue Link**.

To view the Functions, Responsibilities & Authorities/Quality Assurance Program status, click on the **FRA/QAP Status** link. The FRA/QAP Status report appears:

[As of 10/11/00]

Program / Field Office	*Corrective Action Management Process Captured in FRA Document?*	*Quality Assurance Plan Revised subsequent to DOE O 414.1A of September 29, 1999? [Para. 4.a]*
Defense Programs	In the Draft DP FRA Document	QAP revised, approval contingent on FRA Document approval
Energy Efficiency/ Renewable Energy	YES	Portions of QAP are in EERE's FRA Document, which is being updated
Environment, Safety & Health	In the Draft EH FRA Document	
Environmental Management	YES	Revision in progress
Nuclear Energy, Science & Technology	YES	QA responsibilities are included in NES&T's FRA Document; QAP being developed
Fossil Energy	YES	QA responsibilities are included in FE's FRA Document; QAP being developed
Civilian Radioactive Waste Management	YES	YES
Science	YES	QA responsibilities are Included in SC's FRA Document; QAP being developed

Appendix A: Data Change Request Form

In the event that a user should make a mistake on a Corrective Action Plan that can not be edited within the CATS database, complete and submit the Data Change Request Form **given on the next page**.

Fill in all the information down to the dashed line near the bottom that reads “For EH Use Only”. (The “DBA Summary of Changes” and “DBA Signature” are for the EH CATS Database Administrator to track the disposition of your request.)

After you complete the Data Change Request Form, please submit it to:

U.S. DOE
ES&H InfoCenter, EH-72, 270CC
19901 Germantown Rd
Germantown , MD 20874
Phone: 1-800-473-4375
FAX: 301-903-9823

Once your completed Data Change Request Form is received, the Database Administrator will evaluate your request and notify you of its status.

U.S. Department of Energy
TECHNICAL INFORMATION SERVICES
Connecting the World of Environment, Safety & Health

ES&H Helpline 301-903-8358 • 1-800-473-4375
Internet: esh-infocenter@eh.doe.gov
ES&H TIS Web Site: http://tis.eh.doe.gov

For ES&H InfoCenter Use ONLY

RECEIVED ________________ DATE__________
APPROVAL ________________ DATE__________
ACTION __________________ DATE__________
CLOSED __________________ DATE__________

Corrective Action Tracking System
DATA Change Request Form

SUBMIT TO: U.S. DOE
ES&H InfoCenter, EH-72, 270CC
19901 Germantown Rd.
Germantown, MD 20874

PHONE: 800-473-4375
FAX: 301-903-9823

(Type or Print)

Name:____
(Last) *(First)* *(Middle Initial)*

AUTHORITY / SITE: ___________________________________

Company Name:_______________________________________

Work Phone:____________________ Work Fax:____________________

Internet E-Mail Address:______________________________

Item #: ____

Change(s) to be made:

____
____
____
____

Reason for change(s):

____
____
____
____

Requestor's Signature:____________________ Date:____________________

– – – – – – – – – – – – – For EH Use Only: – – – – – – – – – – – – –

DBA Summary of Changes:

____
____
____
____

DBA Signature:____________________ Date:____________________

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